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UNCLASSIFIED

UNITED STATES INTERNATIONAL DEVELOPMENT COOPERATION AGENCY  
AGENCY FOR INTERNATIONAL DEVELOPMENT  
Washington, D. C. 20523

LAC REGIONAL

PROJECT PAPER

NEOTROPICAL MIGRATORY BIRD CONSERVATION

AID/LAC/P-660

PROJECT NUMBER: 598-0795

UNCLASSIFIED

<b>AGENCY FOR INTERNATIONAL DEVELOPMENT</b> <b>PROJECT DATA SHEET</b>		<b>1. TRANSACTION CODE</b> <input type="checkbox"/> A = Add <input type="checkbox"/> C = Change <input type="checkbox"/> D = Delete <input checked="" type="checkbox"/> A	Amendment Number	<b>DOCUMENT CODE</b> <b>3</b>
<b>2. COUNTRY/ENTITY</b> LAC Regional		<b>3. PROJECT NUMBER</b> 598-0795		
<b>4. BUREAU/OFFICE</b> LAC/DR		<b>5. PROJECT TITLE (maximum 40 characters)</b> Neotropical Migratory Bird Conservation		
<b>6. PROJECT ASSISTANCE COMPLETION DATE (PACD)</b> MM DD YY 09 30 93		<b>7. ESTIMATED DATE OF OBLIGATION</b> (Under 'B', below, enter 1, 2, 3, or 4) A. Initial FY <input type="checkbox"/> 9 <input checked="" type="checkbox"/> 1 B. Quarter <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 4 C. Final FY <input type="checkbox"/> 9 <input checked="" type="checkbox"/> 1		

<b>8. COSTS (\$000 OR EQUIVALENT \$1 = )</b>						
<b>A. FUNDING SOURCE</b>	<b>FIRST FY 91</b>			<b>LIFE OF PROJECT</b>		
	<b>B. FX</b>	<b>C. L/C</b>	<b>D. TOTAL</b>	<b>E. FX</b>	<b>F. L/C</b>	<b>G. TOTAL</b>
AID Appropriated Total						
(Grant) PSEE	( 500 )	( )	( 500 )	( )	( )	( 500 )
(Loan)	( )	( )	( )	( )	( )	( )
Other U.S. 1.						
Other U.S. 2.						
Host Country	110		110			110
Other Donor(s)	450		450			450
<b>TOTALS</b>	<b>1,060</b>		<b>1,060</b>			<b>1,060</b>

<b>9. SCHEDULE OF AID FUNDING (\$000)</b>									
A. APPROPRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH CODE		D. OBLIGATION TO DATE		E. AMOUNT APPROVED THIS ACTION		F. LIFE OF PROJECT	
		1 Grant	2 Loan	1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan
(1) SD	742R	851				500		500	
(2)									
(3)									
(4)									
<b>TOTALS</b>						<b>500</b>		<b>500</b>	

<b>10. SECONDARY TECHNICAL CODES (maximum 6 codes of 3 positions each)</b>				<b>11. SECONDARY PURPOSE CODE</b>			
<b>12. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each)</b>							
A. Code	ENV	PVOU	PVON				
B. Amount							

**13. PROJECT PURPOSE (maximum 480 characters)**

To improve and coordinate monitoring, research, and education programs necessary to address the decline in neotropical migratory bird populations.

<b>14. SCHEDULED EVALUATIONS</b>					<b>15. SOURCE/ORIGIN OF GOODS AND SERVICES</b>				
Interim	MM	YY	MM	YY	Final	MM	YY	MM	YY
						06	93	<input checked="" type="checkbox"/> 000	<input type="checkbox"/> 941
								<input type="checkbox"/> Local	<input type="checkbox"/> Other (specify)

**16. AMENDMENTS/NATURE OF CHANGE PROPOSED (This is page 1 of a \_\_\_ page PP Amendment.)**

"I certify that the methods of payment and audit plan are in compliance with the Payment Verification Policy."

*Richard C. McClure*  
 Richard C. McClure, LAC Comptroller

<b>17. APPROVED BY</b>	Signature	<i>Bastian B. Schantz</i>	<b>18. DATE DOCUMENT RECEIVED IN AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION</b>
	Title	James H. Michel B. SCHIOUTE Assistant Administrator, Bureau for Latin America and the Caribbean	
	Date Signed	MM DD YY 08 09 91	MM DD YY

## PROJECT AUTHORIZATION

Name of Country	LAC Regional
Name of Project	Neotropical Migratory Bird Conservation Project
Number of Project	598-0795

1. Pursuant to Section 106 of the Foreign Assistance Act of 1961, as amended, I hereby authorize the Neotropical Migratory Bird Conservation Project for Latin America and the Caribbean Region involving planned obligations of not to exceed \$500,000 in grant funds over a two year period from the date of authorization, subject to availability of funds in accordance with the A.I.D. OYB allotment process, to help in financing foreign exchange and local currency costs for the project. The planned life of the project is two years from the date of initial obligation.

2. The purpose of this project is to improve and coordinate monitoring, research, and associated education and training programs necessary to address the decline in neotropical migratory bird populations. The project will provide grants to non-governmental organizations (NGOs), host country government agencies and independent researchers to carry out activities in the above areas. The strategy underlying the "Partners in Flight" program, of which the NMBCP is an integral component, calls for prioritization of species and habitats of greatest concern and development of a framework for long-term management and habitat protection.

3. The project Agreement(s) which may be negotiated and executed by the officer to whom such authority is delegated in accordance with A.I.D. regulations and Delegations of Authority shall be subject to the following essential terms and covenants and major conditions, together with such other terms and conditions as A.I.D. may deem appropriate.

4. Source and Origin of Commodities, Nationality of Services: Commodities financed by A.I.D. under the project shall have as their source and origin the United States, except as A.I.D. may otherwise agree in writing. Except for ocean shipping, the suppliers of commodities or services shall have the United States as their place of nationality, except as A.I.D. may otherwise agree in writing. Local procurement, in accordance with the Agency's Buy America policies, is permitted.

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Ocean shipping financed by A.I.D. under the project shall, except as A.I.D. may otherwise agree in writing, be financed only on flag vessels of the United States.

Bastian B. Schout  
Acting Assistant Administrator  
Bureau for Latin America and the Caribbean

8/9/91  
Date

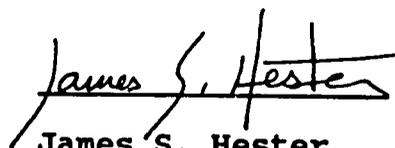
b

Agency for International Development  
Washington, D.C. 20523

LAC-IEE-91-70

**ENVIRONMENTAL THRESHOLD DECISION**

Project Location : LAC Regional  
Project Title : Neotropical Migratory Bird  
Conservation  
Project Number : 598-0795  
Funding : \$500,000 (PSEE)  
Life of Project : Years (FY 91-93)  
IEE Prepared by : John O. Wilson, LAC Deputy Chief  
Environmental Officer  
Recommended Threshold Decision : Categorical Exclusion  
Bureau Threshold Decision : Concur with Recommendation  
Comments : None  
Copy to : Peter Bloom, Director  
LAC/DR  
Copy to : Sue Bugg, LAC/DR/PSS  
Copy to : IEE File

 Date July 18, 1991  
James S. Hester  
Chief Environmental Officer  
Bureau for Latin America  
and the Caribbean

.C

Agency for International Development  
Washington, D.C. 20523

**INITIAL ENVIRONMENTAL EXAMINATION**

Project Location : LAC Regional  
Project Title : Neotropical Migratory Bird Conservation  
Project Number : 598-0795  
Funding : \$500,000 (PSEE)  
Life of Project : 2 years  
IEE Prepared by : John Wilson, LAC Deputy Chief Environmental Officer

I. Project Description: The purpose of the two-year Neotropical Migratory Bird Conservation project is to improve and coordinate monitoring, research, and education and training programs necessary to address the decline in neotropical migratory bird populations and the habitats upon which they depend. This project has been developed in response to a Congressional mandate in the FY 1991 Foreign Assistance Appropriations Act, calling for \$500,000 to be made available for the conservation of neotropical migratory birds. These funds, together with an equal match of non-federal funds, are to be used to develop a comprehensive framework for the conservation of neotropical migratory birds, focusing on both their breeding and wintering habitats, and ensuring coordination between domestic and international programs.

To successfully implement a comprehensive and coordinated Neotropical Migratory Bird Conservation project, the National Fish and Wildlife Foundation (NFWF) will administer the entire amount of A.I.D. funds to individual grantees participating in the project through a competitive grants program. All proposals submitted to NFWF under the competitive grants program will receive outside review by experts in the appropriate field of study, and from an advisory panel established to review proposals supported by A.I.D. funds. Based on the recommendations of the reviewers and advisory panel, sub-grants will be awarded to support research, monitoring, and education priorities involving neotropical migratory birds on their wintering grounds in Latin

*J.*

America and the Caribbean. The project will not provide support for management of neotropical migratory bird populations, nor for habitat management.

II. Statement of Categorical Exclusion: The project qualifies for a Categorical Exclusion under 22 CFR 216.2(c) as the actions supported under the project will not have a significant effect on the environment. This section states that "Research activities which may have an affect on the physical and natural environment but will not have a significant effect as a result of limited scope, carefully controlled nature and effective monitoring," and "Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction facilities)" are types of activities generally excluded from further environmental review.

III. Recommendation: Based on the above, it is recommended that a Categorical Exclusion be approved by the LAC Chief Environmental Officer.

  
\_\_\_\_\_  
Peter Bloom , Director, LAC/DR

17 July 1991  
\_\_\_\_\_  
Date

Clearance:

LAC/DR/PSS, Sue Bugg   
LAC/DR, Elena Brineman 

  
LAC/DR/E:JWilson:JW:7/17/91:DRPUB\DOCS\NMBC.IEE

**PROJECT TITLE:** NEOTROPICAL MIGRATORY BIRD CONSERVATION

**PROJECT LOCATION:** LATIN AMERICA AND THE CARIBBEAN REGION

**PVO NAME:** THE NATIONAL FISH AND WILDLIFE FOUNDATION

**PVO LOCATION:** 18TH AND C STREET, NW  
ROOM 2556  
WASHINGTON, D.C. 20240  
TELEPHONE: (202) 208-3040  
FAX: (202) 208-4051

**HEADQUARTERS:** SAME AS ABOVE

**CONTACT PERSON:** PETER STANGEL  
DIRECTOR, NEOTROPICAL MIGRATORY  
BIRD CONSERVATION PROGRAM

**SUBMISSION DATE:** JULY 18, 1991



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LAC Regional  
Neotropical Migratory Bird Conservation PP  
(598-0795)

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**Attachments:**

Appendix 1: Memorandum of Agreement signed by A.I.D. and six  
Federal agencies in support of Neotropical Migratory  
Bird Conservation

Appendix 2: NMBC Initial Environmental Examination

**NEOTROPICAL MIGRATORY BIRD CONSERVATION  
IN LATIN AMERICA AND THE CARIBBEAN**

**A PROPOSAL TO THE  
UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT  
FROM THE  
NATIONAL FISH AND WILDLIFE FOUNDATION**

**SUMMARY**

Long-term surveys indicate that populations of many species of birds that nest in North America and winter in Mexico, the Caribbean Basin, and Central America are declining. It is uncertain what factors are responsible for this decrease, but deforestation of wintering habitat in the neotropics has been cited as a primary contributing factor. Forest fragmentation, increased pressure from predators, competitors and parasites, and indiscriminate use of pesticides on the wintering grounds have also been implicated.

Declines in populations of neotropical migratory birds may be indicative of more general environmental problems which could impact humans. There is an immediate need to focus resources on identifying the factors responsible for this decrease. Conservation programs for these birds will involve habitat protection, implementation of sustainable resource management practices, research on and monitoring of wintering migratory birds, training of biologists and resource managers, and public education programs.

The National Fish and Wildlife Foundation (Foundation) has designed the Neotropical Migratory Bird Conservation project to coordinate and direct resources to research, monitoring, and related training and education priorities involving neotropical migratory birds on their wintering grounds in Latin America and the Caribbean. The Foundation's project is part of a larger umbrella program referred to as "Partners in Flight - Aves de las Americas," which provides a strategic framework for a cooperative program of research, monitoring, training and education projects on neotropical migratory birds and their habitats. The strength of the "Partners in Flight" program lies in partnerships established among federal, state and private organizations. The commitment to these partnerships is indicated by a Memorandum of Agreement signed by seven federal agencies, including the U.S. Agency for International Development (USAID), to promote the conservation of neotropical migratory birds (Appendix 1). The North American component of the "Partners in Flight" program is well underway.

With this proposal, the Foundation requests \$500,000 from USAID for a two year Neotropical Migratory Bird Conservation (NMBC) project to assist the implementation of the umbrella "Partners in Flight" program in the Latin America and Caribbean (LAC) region. Under the NMBC project, the Foundation will administer a competitive grants program designed to focus resources towards the improvement of monitoring, research, and allied education and training activities involving neotropical migratory birds and their habitats. The Foundation proposes a minimum match of \$450,000 from its partners for implementation of this program. The Foundation will provide an estimated \$110,000 per year of administrative and program services related to this project as an in-kind contribution to ensure a direct on-the-ground expenditure of the funds in high priority research, monitoring, and related education and training projects.

The total project budget for the LAC Neotropical Migratory Bird Conservation project is \$1,060,000 (\$500,000 from USAID, \$450,000 from matching private grants to be passed through the Foundation, and \$110,000 of in-kind management and administration expenses contributed by the Foundation).

The Foundation anticipates that additional funding will be available for the umbrella "Partners in Flight" program from a variety of U.S. federal and private sector sources to complement and augment the LAC NMBC project.

The National Fish and Wildlife Foundation looks forward to developing a close partnership with the United States Agency for International Development as part of the implementation of the Neotropical Migratory Bird Conservation project.

## **NEOTROPICAL MIGRATORY BIRD CONSERVATION**

### **I. PROJECT PURPOSE AND DESCRIPTION**

Project purpose and beneficiaries:

The primary purpose of the LAC Neotropical Migratory Bird Conservation project is to improve and coordinate monitoring, research, and training and education programs necessary to address the decline in neotropical migratory bird populations. The project will provide grants to non-governmental NGOs, government agencies, and independent researchers to carry out activities in the above areas. The strategy underlying the "Partners in Flight" program, of which the Neotropical Migratory Bird Conservation project is an integral component, calls for a prioritization of species and habitats of greatest concern and development of a framework for long-term management and habitat protection.

By the end of the NMBC project, the ability of local NGOs, government natural resource agencies, host country universities, and other national and international organization to coordinate and implement on-the-ground avian biodiversity research, monitoring, and conservation programs will be improved and strengthened.

**Project Description:**

The recent declines documented for many neotropical migratory birds have focused attention on the need for conservation of these species and the habitat on which they depend. Past research and monitoring have provided valuable information on neotropical migratory birds, but unfortunately this work has been too piecemeal and too narrow in focus to assist the development of strategies needed to answer pressing conservation issues. Our ability to monitor population trends is limited, and our knowledge of distribution and ecology of wintering migrants in Latin America and the Caribbean is rudimentary.

A conservation initiative for neotropical migratory birds is urgently needed and must be conducted simultaneously in North and Latin America and the Caribbean. Given the complexity of the task, the initiative must marshal the multinational resources of many government agencies and conservation organizations. In response, the Foundation was instrumental in supporting the development of the "Partners in Flight - Aves de las Americas" program, a comprehensive and cooperative effort involving partnerships among federal, state, and local government agencies, philanthropic foundations, conservation groups, industry, and the academic community in both North America, Latin America and the Caribbean. This overarching program provides a strategic framework for cooperative efforts involving monitoring, management, research, education and outreach, and international partnerships.

The Neotropical Migratory Bird Conservation project is a major component of this overall effort, and serves as a key mechanism for implementation of the Latin American and Caribbean component of the umbrella "Partners in Flight" program. Implementation of the NMBC project will be accomplished by the Foundation soliciting and administering grants consistent with the umbrella "Partners in Flight" strategic plan.

Current monitoring programs do not allow satisfactory assessment of bird population and habitat trend. This problem is especially acute in Latin America and the Caribbean. The NMBC project will support efforts to obtain information on the population status of neotropical migratory birds to allow assessment of population trends, implement monitoring programs for migrants on wintering grounds complementary to ongoing efforts in North America, and develop cooperative networks for data sharing among organizations and countries.

Factors contributing to the decline of neotropical migrants are poorly understood, and insufficient data on the population status of many species prevent selective and comprehensive recommendations for management. The NMBC project will assist efforts to identify habitats and other resources critical for neotropical migrants on their wintering grounds, and establish which species and habitats are at greatest risk. The results of these efforts will be improved information upon which to base sound recommendations for sustaining healthy populations of neotropical migrants and their habitats.

The project will also foster and support efforts to implement training and education programs to strengthen monitoring and research activities involving neotropical migratory birds and their habitats, and establish international fora to coordinate monitoring, research, and training programs.

The Foundation does not directly implement projects. Instead, we administer grants to qualified individuals or groups who have expertise in the desired areas. Potential applicants include individuals, agencies, and organizations with expertise in the three main program areas of research, monitoring, and education and training. Many projects transcend the boundaries of two or more of these program areas.

Funding of these proposals is contingent upon receiving matching support from the private sector, as directed by the language of the Foreign Operations Appropriations bill. Sub-grantees will be responsible for obtaining the non-federal match, but the Foundation will provide assistance whenever possible to facilitate the match requirements. It is the intent of the Foundation to implement the Latin American and Caribbean Neotropical Migratory Bird Conservation project in a fashion consistent with the spirit of this bill. All proposals submitted to the Foundation will receive outside review from experts in the appropriate field of study and from the "advisory panel" being established by the Foundation for proposals to be supported by USAID. Final support for all projects is contingent upon approval by the Foundation's Board of Directors, as required by Foundation By-laws, and by the USAID Project Manager under the terms of a Cooperative Agreement.

The "Partners in Flight" program is a multi-year strategic plan for conservation of migratory and endemic avifauna that links conservation in the United States and Canada with partners in Latin America and the Caribbean. Research, monitoring, and education and training activities to be supported by the Foundation with USAID funds through the NMBC project are in support of the umbrella "Partners in Flight" program. All activities supported by the NMBC project will be fully-funded, "start-to-finish." The conditions expected at the end of the project are:

## STRATEGIC

A strategic plan, designed by local resource managers, for conservation of neotropical migratory birds in the Caribbean Basin and Latin America, will be developed. This plan will be formulated in consultation with Latin American and Caribbean biologists, resource managers, and administrators to identify priority areas for research, monitoring, and management involving neotropical migratory birds on their wintering grounds. Contacts between North American federal and state agencies, NGOs, academicians, and industries, and Caribbean Basin and Latin American biologists will be facilitated. The plan would be used to help direct expertise and financial support to priority projects and regions, and serve as the blueprint that guides long-term implementation of the umbrella "Partners in Flight" program on the wintering grounds.

## RESEARCH

Support for research projects identified as priorities of the "Partners in Flight" program by the Federal NMBC Committee's Research and Monitoring Working Groups will significantly advance knowledge of the ecology of migrant birds on the wintering grounds. In turn, this knowledge will facilitate direct, on-the-ground conservation, and management and training programs.

## MONITORING

Monitoring programs supported by the Foundation through the NMBC project will be for priorities identified by the "Partners in Flight" program. Monitoring programs for migrants on their wintering grounds will have been standardized and coordinated and cooperative networks for data sharing among organizations and research institutions will have been strengthened. These monitoring programs will provide information on the effect of degradation of the wintering habitat on migratory birds, the relative effects of degradation of different types of habitat and the success of conservation programs aimed at migratory birds.

## TRAINING AND EDUCATION

Training and education activities supported by the Foundation through the NMBC project will be in direct support of the "Partners in Flight" research and monitoring priorities. This may include training of students at the undergraduate, graduate and post-graduate levels as well as training of personnel associated with local government and nongovernment organizations. Training will occur at host-country institutions whenever possible, and will emphasize development of support infrastructure at these institutions.

## GENERAL

Improving communication and cooperation among federal, state and local governments, NGOs, universities, and private industries in both North and South America and the Caribbean will provide the base upon which the balance of the "Partners in Flight" program can be built. The increased exposure of conservation programs in the Caribbean Basin and Latin America will greatly facilitate improved funding opportunities from the public and private sector. Support from USAID for the NMBC project will be a critical first step in this conservation effort.

## II. PROJECT BACKGROUND

### History of Proposal Development:

In the late 1980's, several seminal research papers provided strong evidence that populations of numerous species, particularly birds that breed in North America and winter in the neotropics, were declining. Although some monitoring, research, and management programs were underway, they were piecemeal and uncoordinated in their approach. Because conservation of neotropical migratory birds involves work with millions of birds and hundreds of species moving across the borders of dozens of countries annually, a new approach was required to effectively deal with looming conservation problems.

In response, the Foundation launched the Neotropical Migratory Bird Conservation Program. The Foundation's program is part of a larger umbrella initiative referred to as "Partners in Flight - Aves de las Americas." This umbrella initiative will include programs by federal and state agencies, non-government organizations, academia and the corporate sector in both North America, Latin America and the Caribbean region. This initiative is designed to bring together public and private conservation interests from North America, Mexico, Central America and the Caribbean Basin to develop an integrated approach to the management of neotropical migratory birds. A primary component of the program is the recognition that sustainable resource practices on both the breeding and wintering grounds are a key to the conservation of neotropical migratory birds.

Using a hierarchical approach, the Foundation has sought to organize and integrate support first from U.S. Federal Agencies, then from state agencies, academia, industry, and non-government

organizations. The following is a list of accomplishments since the program began in late 1990:

- 1) Foundation signed Memoranda of Understanding with U.S. Forest Service (FS), U.S. Fish and Wildlife Service (USFWS), and Bureau of Land Management (BLM);
- 2) Foundation committed funds for research, monitoring, education and training proposals on target species and habitats in U.S., Mexico, and other countries totalling \$1,882,900;
- 3) FS established positions within Forest Environment Research and National Forest Systems to coordinate neotropical migratory bird program;
- 4) Foundation established interagency/interorganization Neotropical Migratory Bird Coordinating Committee;
- 5) Foundation cosponsored with the FS and USFWS an international conference in Atlanta, Georgia, December 10-14 to refine program framework. Over 150 representatives from six federal agencies including USAID, eight states, eight universities, 15 non-government agencies, and Mexico and Puerto Rico attended. The product of the conference was a compendium, published by the FS, which highlights group accomplishments and outlines respective participant strengths and points of contribution;
- 6) Foundation produced an interagency plan that outlines implementation activities of USFWS, FS, BLM and National Park Service (NPS);
- 7) Foundation assisted with the organization of interagency meetings and the establishment of working committees to plan a conservation agenda. Participating federal agencies assigned permanent working groups to represent four regions in the U.S. (NE, SE, MW, W) and for research, management, education/information, and international agendas.
- 8) At a meeting held 19-20 February in Washington, D.C., the USFWS, FS, BLM, NPS, the Smithsonian Institution and the Environmental Protection Agency (EPA) agreed to sign a Memorandum of Agreement for cooperation on the Neotropical Migratory Bird Conservation Plan;
- 9) At the February meeting, the NGO community established an NGO Council on Neotropical Migratory Birds to parallel the Interagency Committee on Neotropical Migratory Birds;
- 10) At the February meeting, eight working groups were formed to advise the committees on research, monitoring, information

and education, international programs, and regional issues in the northeast, southeast, midwest and west;

11) On May 14 the U. S. Fish and Wildlife Service, U. S. Forest Service, National Park Service, Bureau of Land Management, Environmental Protection Agency, Department of the Navy and U. S. Agency for International Development signed a Memorandum of Agreement regarding conservation of neotropical migratory birds.

12) At the second meeting of the Interagency and NGO Councils held May 21-22 in Asheville, North Carolina it was decided that a national conference was to be held in Madison, Wisconsin in October to discuss implementation of both the domestic and international components of "Partners in Flight."

13) Foundation is helping organize a second conference to be held in Madison, Wisconsin, October 21-22, 1991 to refine program objectives for Mexico, Central America, and the Caribbean Basin;

14) Congress appropriated initial federal funding to implement the Neotropical Migratory Bird Initiative, including \$1.75 million for USFWS, \$510,000 for FS, \$360,000 for Smithsonian, and \$500,000 for USAID. Foundation prepares federal wildlife resource agency budgetary Needs Assessments for FY 1992. With specific research, monitoring, training and education objectives developed by experts in these areas, the Foundation now seeks to help implement the "Partners in Flight" program by funding individual proposals that meet program objectives through the LAC Neotropical Migratory Bird Conservation project.

#### Foundation Prior Experience:

The Foundation has extensive experience both in organizing cooperative international conservation programs and administering funds for projects.

The LAC Neotropical Migratory Bird Conservation project is modeled after the highly successful North American Waterfowl Management Plan (NAWMP). The NAWMP, organized by the Foundation to stem the decline in migratory waterfowl, has involved joint ventures with 11 Mexican, 37 Canadian, 3 Central American and 3 Caribbean partners. Over \$150 million has been disbursed for related projects. The Foundation has also administered projects in the Soviet Union and Africa.

The Foundation has six years experience in successfully identifying, reviewing, funding and evaluating the results of conservation projects. We have initiated and/or participated in

more than 365 projects with 185 partners including federal and state agencies, national and international conservation organizations, state-wide and regional organizations, local citizen's groups and individual academic researchers.

The Foundation has close working relationships with the U.S. Fish and Wildlife Service and the U.S. Forest Service, the Bureau of Land Management, the National Park Service and a host of state agencies. Through this project, the Foundation looks forward to developing an effective working relationship with U.S. Agency for International Development. U.S.A.I.D. is the lead federal agency for the international component of the "Partners in Flight" program and supports major international environment/natural resources management programs in Latin America and the Caribbean. Sub-projects supported by the Foundation through the LAC NMBC project will build on these already established programs whenever possible. The NMBC project will also attempt to complement ongoing programs supported by other federal agencies working internationally, including the U.S. Fish and Wildlife Service and Forest Service. By complementing and diversifying ongoing agency programs, and strengthening and expanding partnerships with NGOs that already have existing programs in Latin America and the Caribbean, maximum effectiveness of the NMBC project is ensured.

### III. PROJECT ANALYSIS

#### Economic Effects of the Projects:

The project purpose is to improve and coordinate research, monitoring, and related training and education programs necessary to address the decline in neotropical migratory bird populations. Consequently, due to the nature of the activities supported under the NMBC project, the project will have only limited economic effects. Most of the positive benefits that do occur will accrue to the conservation and research agencies, institutions and universities that implement the sub-projects.

In the long-term, local NGOs and government agencies will grow in size and stature as additional funds and attention are directed to them. A better informed public will result in increased pressure on governments to manage natural resources wisely. Improved contacts between Caribbean Basin and North American and governments and NGOs will greatly improve the prospects for technology exchange, and program stimulation and improvement.

One of the main project beneficiaries will be students. Undergraduate students will receive support for continued education in resource management and biology. Students interested in advanced education will have the opportunity to come to the United States to receive additional training and degrees that will permit advancement in their field of study. Post-graduates will have the opportunity to receive the training necessary to become independently functioning scientists.

#### Technology to be Used by the Projects:

Implementation of the projects funded as part of the Neotropical Migratory Bird Conservation project may use technologies ranging from simple bird identification techniques to sophisticated satellite imagery. An attempt will be made to encourage use of technologies that can be locally adapted and maintained. There are tremendous opportunities for training at all levels. When necessary, use of university facilities in the United States will help relieve pressure on local organizations from purchasing sophisticated equipment until in-country facilities can be developed. Emphasis will be given to projects that result in equipment and expertise remaining in-country.

#### Sociocultural Factors and Implementing Agency Environment:

The sociocultural benefits of sub-projects funded by the Foundation as part of the NMBC project are positive, but limited and indirect. The focus of the project is on strengthening research and monitoring capabilities in the LAC region. These efforts will ultimately lead to conservation and improved management of natural

resources, with concomitant socioeconomic benefits, but these will not result directly from project implementation.

#### Project Continuity:

An objective of Foundation participation in this project is to stimulate long-term funding for sustainable resource management and conservation programs in the Caribbean Basin and Latin America. Once programs have been started with Foundation assistance, it is hoped that longer-term funding from multiple U. S. federal and state agencies can be channeled to support additional pilot conservation projects. The umbrella "Partners in Flight" program will play an important role in this process through development of an infrastructure that will allow host country governments, NGOs, and academicians to independently seek funding from external sources; this will be the key to continuity of the project.

The publicity that will accompany the NMBC project and the umbrella "Partners in Flight" program will greatly increase exposure of the cultures in the Caribbean Basin and Latin America, which can provide many benefits, some related to conservation, but many involving other economic opportunities. The Foundation will emphasize attention to the cultures and people of the areas included in our strategic plan to enhance host-country benefits.

The Foundation, through the leverage applied by matching federal funds seeks to augment the availability of funds from North American charitable foundations to Caribbean Basin and Latin American interests as part of the NMBC strategy. Educating host-country biologists and managers about the availability of funds, and providing the skills needed to obtain these funds, should help eliminate dependence on external support. The Foundation also strives to educate the charitable foundations about opportunities in the Caribbean Basin and Latin America, so that when host-country biologist and managers seek funds, they will be more likely to receive support.

#### IV. PROJECT DESIGN AND IMPLEMENTATION

##### Implementation Plan:

To successfully implement a comprehensive and coordinated Neotropical Migratory Bird Conservation project, the Foundation proposes to administer the entire requested amount of USAID funds to individual grantees participating in the project through a competitive grants program. All proposals supported by the Foundation using USAID funds will be in direct support of the overarching "Partners in Flight" program. Funding to individual grantees is contingent upon their securing matching private challenge funds, as required by USAID guidelines and Foundation statutory authority applicable to the administration of federal funds. The Foundation will provide administrative and management support for the NMBC project from private funds to ensure that USAID funds and their corresponding private matches go directly to meet individual project goals in accordance with the "Partners in Flight" strategic plan. Proposals to the Foundation as part of the NMBC project will be routinely reviewed by representatives of the federal agencies participating on the Federal Neotropical Migratory Bird Conservation Committee to ensure that sub-projects funded by NMBC help advance the "Partners in Flight" program. The Foundation will assist potential grantees by helping to locate and secure private matching funds whenever possible.

By having the Foundation directly administer the funds, it is ensured that the sub-projects chosen will directly meet goals of the strategic plan for the "Partners in Flight" program. Because the Foundation plays a central, organizing and coordinating role in the sub-projects, we are continually aware of immediate research, monitoring, education and training needs. By working through the Foundation, the USAID is assured that all funds distributed under the NMBC project will go directly to support the strategic plan objectives of the "Partners in Flight" program.

The Foundation will have a presence on the nine working committees for the "Partners in Flight" program. This will keep us abreast of developments or changes in the strategic plan, and include us in the groups that develop and assess the effectiveness of the Program. Future requests from the Foundation to the research, monitoring, education and training communities will be the direct result of recommendations of the working committees. The Foundation will also assume the responsibility of publishing a quarterly newsletter reporting activities and news of the "Partners in Flight" program.

The size and duration of the sub-projects supported through the NMBC project will vary greatly. By having the Foundation administer grants to partners participating in the program, USAID greatly reduces its administrative requirements. The Foundation can also play a key role in reducing project overlap and ensuring cooperation among partners. By focussing efforts on specific actions through the NMBC project it becomes possible to actually complete components of the "Partners in Flight" program that are necessary to advance conservation issues. The current piecemeal approach to research, monitoring, training and education on the wintering grounds rarely allows completion of specific objectives. Updates on the accomplishments of the NMBC project will also be featured in a newsletter about the "Partners in Flight" program published by the Foundation.

Because the Foundation functions as the information center for the "Partners in Flight" program, we can distribute information quickly to appropriate partners, organizations, and governments concerning the availability of funds for a competitive grants program in support of monitoring, research, and related education and training activities involving neotropical migratory birds and their habitats. The Foundation will require submission of a formal proposal from each applicant for a grant. All proposals solicited by the Foundation will be reviewed under the auspices of the "Partners in Flight" program.

#### Proposal Review:

Upon award of the grant to the Foundation for the Neotropical Migratory Bird Conservation Project, the Foundation will issue a Call for Proposals in support of the NMBC project. Proposals will be judged on the basis of a number of administrative and ecological criteria. Ecological criteria include: degree of human threat to species and habitat richness, and the intrinsic vulnerability of the species on their wintering ground; contribution to expansion and standardization of methodologies to provide information on population trends and associated habitats; complementarity to existing monitoring programs in the breeding range; degree to which project supports cooperative networks for data sharing among organizations and countries. It is anticipated that scientists and students from host countries will be substantively involved in the research and monitoring activities. Some consideration will be given to the equitable distribution of sub-projects among ecosystems and geographic areas in Latin America and the Caribbean.

Administrative criteria include: degree to which project advances the objectives of the umbrella "Partners in Flight" program; level of host country government or indigenous NGO interest; degree to which project complements ongoing programs supported by USAID or other federal agencies working internationally; USAID Mission concurrence and interest in providing logistical and/or other

support to the sub-project; maximization of additional funding secured through counterpart contributions and effective cost control; degree to which project supports development of host country scientific infrastructure and/or host country training; and financial and institutional sustainability beyond the period over which sub-project grant funds are to be disbursed.

Proposals will conform to the standard Foundation grant guidelines. Each proposal will be sent for outside review by experts in the appropriate field of study, including individuals from the country in which the work is to take place. Currently, each proposal under the "Partners in Flight" program is sent to an average of over 13 individuals representing federal agencies, state agencies, NGO community and academic community for review. The proposal review process for the NMBC project will be similar. Representatives from each of the federal agencies participating in the Memorandum of Agreement will also be requested to review all proposals received as part of the NMBC project.

At the request of the USAID, the Foundation will create a special "advisory panel" of reviewers to comment on projects supported with funds from USAID. Because the Foundation seeks to use USAID funds for implementation of the NMBC project in support of the overall umbrella "Partners in Flight" program, it is most appropriate that the additional review be carried out by an "advisory panel" of experts representing members of the Research, Monitoring, Information and Education and International Working Groups of the "Partners in Flight" program. This "advisory panel" will also include one representative from USAID. "Advisory panel" members will be expected to complete a review of each proposal supported with USAID funds within the thrice yearly project deadlines established by the Foundation.

Following review by outside experts and the "advisory panel," a representative from the Foundation will meet with the USAID "advisory panel" member to discuss reviews of proposed projects. These meetings will occur prior to the thrice yearly Board of Directors meeting of the Foundation. Proposals that receive a favorable review from the panel, the outside reviewers and the USAID Project Officer will then be put forth by the Foundation to its Board of Directors for final approval. Grant proposals will be modified based on the recommendations of the reviewers and the advisory panel. Each individual proposal will require an implementation plan that will include a timetable for project completion; a detailed breakdown of budget for personnel, operations and commodities; quarterly project update reports that include a narrative account of what was accomplished with the expenditure of funds, including a description of progress toward achieving the goals of the grant and a detailed financial accounting of expenditures made under terms of the grant.

A final report is to be submitted at the end of the grant period. This report will include a summary of accomplishments achieved during the term of the grant; a final accounting of grant expenditures; and copies of all publications, press releases and all related products produced as result of the project.

In addition, the laws of the United States place certain restrictions on the manner in which funds awarded to organizations by charitable trusts and foundations may be expended. It is the responsibility of the grantee to ensure that the grantee's actions are not in violation of the Internal Revenue Code, OMB Circular A-133, or other applicable laws and regulations.

The Foundation will take an active role in monitoring the progress of individual projects, and will conduct on-site inspections to determine the effectiveness of individual programs. The Foundation will also utilize site visits and project reviews by representatives of the federal agencies participating in the "Partners in Flight" program and other organizations and individuals to monitor sub-projects funded through the NMBC project. Because of the Foundation's central role in the development of the "Partners in Flight" program, we can facilitate rapid communication of results to other interested groups. Each of the sub-projects supported by the Foundation with funds from USAID through the NMBC project will be unique and will have its own structure and timetable. In addition to dealing with the individual requirements of each organization, the Foundation will ensure that grants will fulfill the requirements of the "Partners in Flight" strategic plan. The Foundation will build upon the strengths of the individual grantees' technical expertise and host country connections, and help reduce overlap of programs by improving communication among groups working on similar projects in similar areas.

#### Provision of Technical Assistance and Training:

The Foundation's main role in this area will be the coordination of activities under the NMBC project related to the overall objectives of the "Partners in Flight" program. The Foundation will take the recommendations of the working committees and seek to implement these recommendations by identifying organizations and individuals capable of carrying out the required work. The Foundation will also seek to assist potential applicants with efforts in obtaining funds and coordinating programs with other groups. The Foundation will depend on individual grantees for technical assistance and training unique to individual projects.

In its central role as coordinating organization, the Foundation will provide the following services through the NMBC project.

- 1) Project identification: The Foundation will use the recommendations of the working committees, NGO and Interagency

Councils to identify research, monitoring, education and training priorities. The Foundation will then solicit proposals from qualified organizations and individuals to carry out projects appropriate for each area of concern. All sub-projects supported by the Foundation using USAID funds will fit within the framework of the "Partners in Flight" program;

2) Project coordination: The Foundation will seek to ensure that there is maximum coordination of activities associated with the NMBC project. This will include establishing communication among groups working on similar projects and in proximate geographic areas. It will also include help with coordination of activities with host country governments and organizations;

3) Technical assistance: The Foundation will coordinate technical assistance for grantees as needed. This will mean taking advantage of the network of experts being established, and assuring that those experts are available to assist grantees as needed.

#### Assumptions about National Fish and Wildlife Foundation Project Management:

As the grantee, the Foundation will subgrant the funds to cooperators under the NMBC project. The cooperators will implement their sub-grants in accordance with the work plan and calendar submitted in their proposal and approved by the reviewers, the Foundation, and the USAID Project Officer. Grant funds will be used to meet the approved expenses including salaries and stipends, training, equipment, and travel as detailed in the individual proposals. The Foundation will not charge overhead or other fees. As the grantee, the Foundation will complete all financial and reporting requirements in accordance with USAID standard provisions. The Foundation will be responsible for obligating the sub-grantees to furnish written quarterly reports describing their activities and achievements. These, together with quarterly financial reports, will indicate the success in attracting additional support for ongoing programs of the umbrella "Partners in Flight" program. The Foundation will provide USAID with quarterly progress reports discussing project accomplishments. In addition, yearly audits will be conducted by an independent agency in accordance with the grant agreement and accepted accounting practices. On the project termination date, the Foundation will deliver to USAID a project narrative and financial report that covers the accomplishments of the project.

## Schedule of Actions required:

<u>Action</u>	<u>Date</u>
Approval of USAID/Foundation Grant Agreement including implementation and financial plan	9/91
Preparation Foundation/subgrantee agreements including approved annual operating plans	9/91-3/92
Individual project initiation	1/92-12/92
Quarterly narrative and financial report submission	quarterly
Project evaluation	9/92
Project final report	9/93
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Total project duration:	approximately 24 months

### Measurement and Evaluation of Project Accomplishments:

The Foundation will prepare an evaluation report at the midpoint of grant implementation. This report will list the accomplishments of the sub-grantees in using the funds provided through the NMBC project, problems encountered during project implementation, and the degree of progress in achieving project status completion. The evaluation will also assess the success of sub-grantees in securing additional funds for the continuation of individual projects beyond the time period of this Foundation proposal to USAID. It is anticipated that the USAID representatives will participate as team members in the evaluations. Based on the results of this evaluation, recommended courses of action for continuance of the project will be included.

### V. FINANCIAL PLAN SUMMARY

<u>Component</u>	<u>A.I.D</u>	<u>NFWF</u>	<u>NGO Match</u>	<u>Total</u>
Competitive Grants Program <sup>1</sup>	\$450,000	0	\$450,000	\$900,000
Program evaluation and audit <sup>2</sup>	\$20,000	\$20,000	0	\$40,000
Personnel	\$15,000	\$61,000	0	\$76,000
Office support	0	\$12,000	0	\$12,000
Travel	\$15,000	\$11,000	0	\$26,000
General and Equip.	0	\$6,000	0	\$6,000
<b>Project Total</b>	<b>\$500,000</b>	<b>\$110,000</b>	<b>\$450,000</b>	<b>\$1,060,000</b>

<sup>1</sup>Since neither the number nor size of the competitive sub-grants to be supported by the Neotropical Migratory Bird Conservation project is known at this time, detailed illustrative budgets cannot be given. A.I.D. funds in support of these activities may be used for salaries and wages, benefits, overhead, travel and per diem, materials, or other direct costs. Implementing organizations may supply matching funds in cash or in kind. A.I.D. contributions are subject to the provisions of the "Buy America" policy.

<sup>2</sup>Audits, if required, will be non-federally funded.